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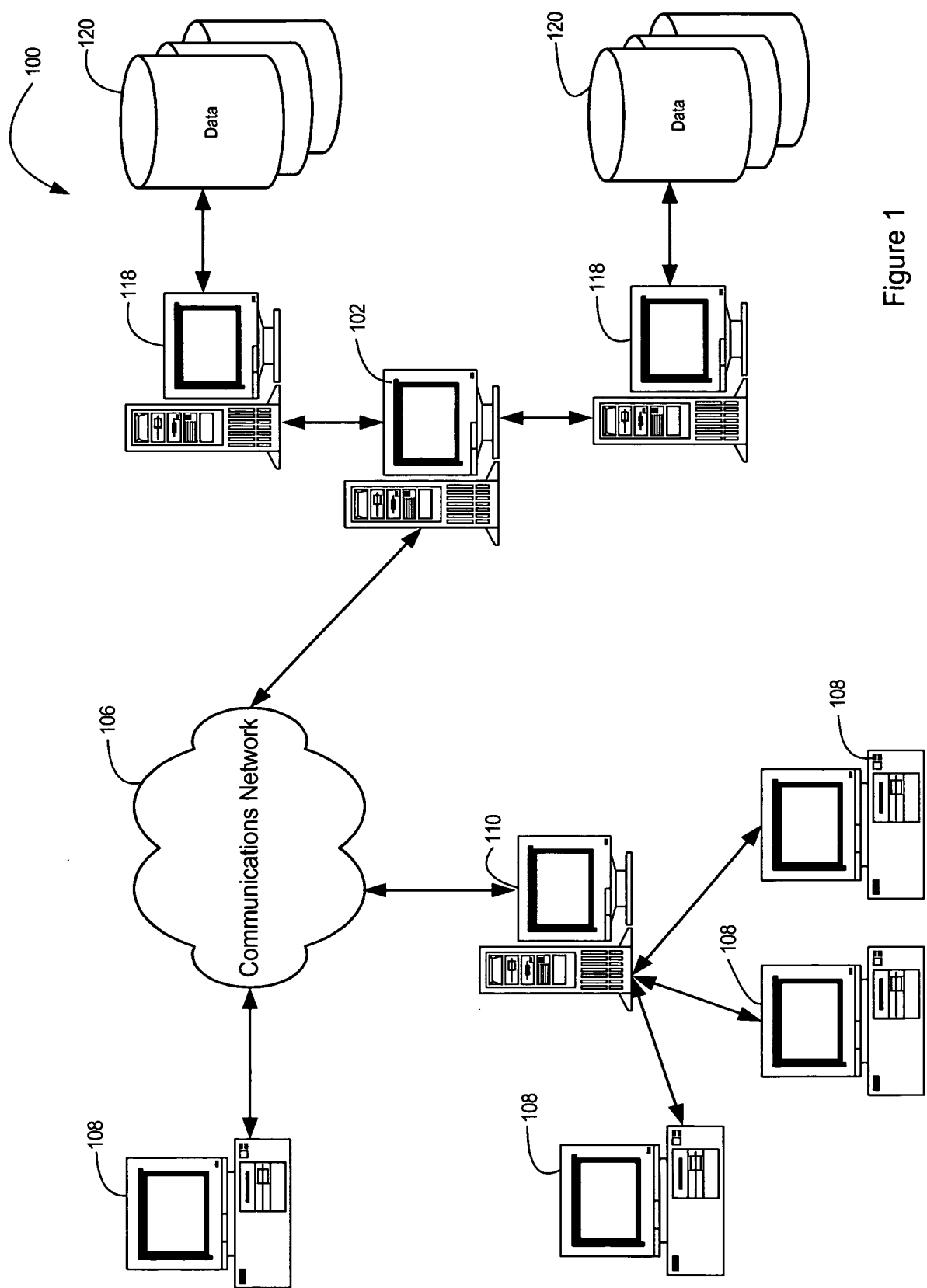


Figure 1

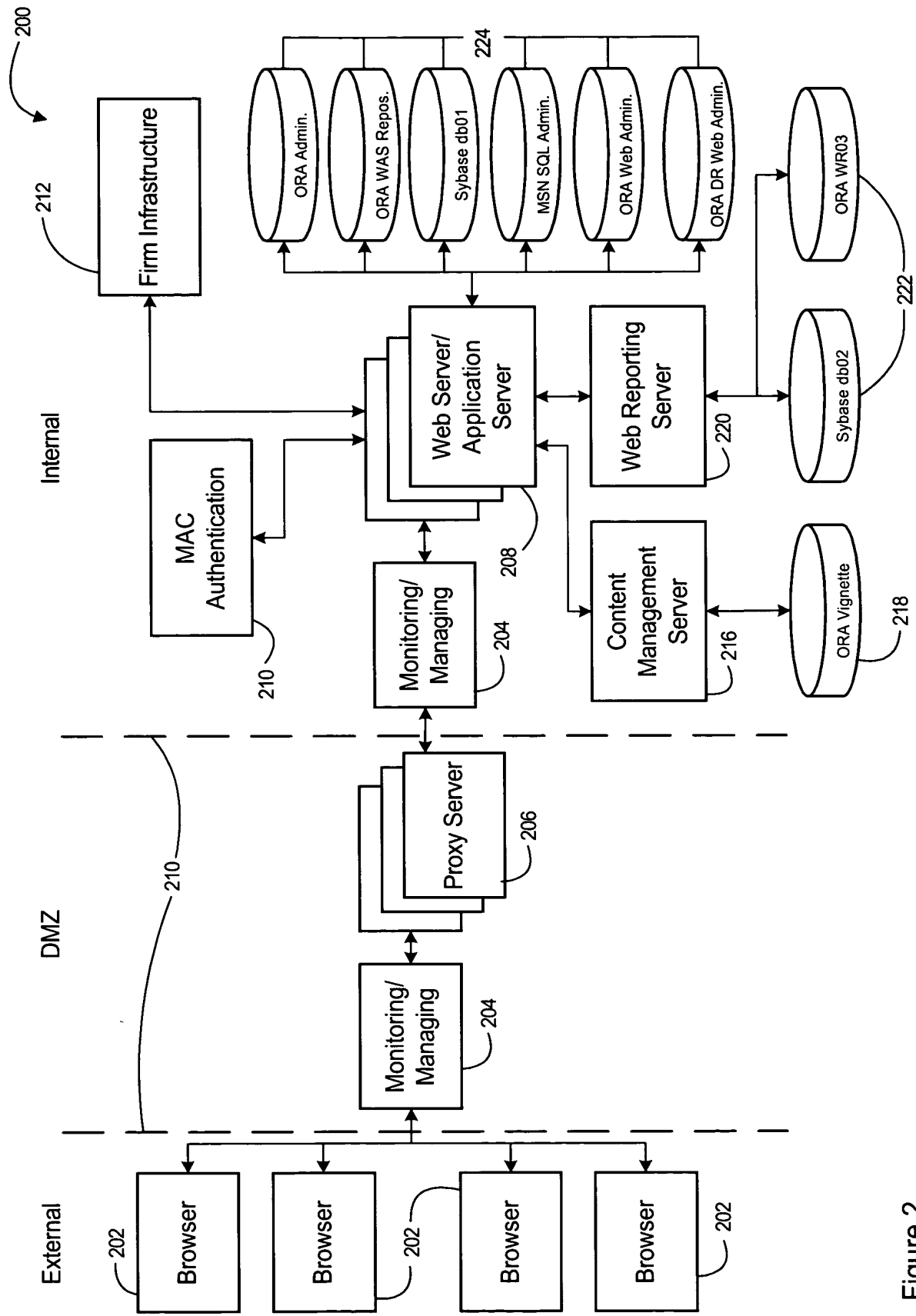


Figure 2

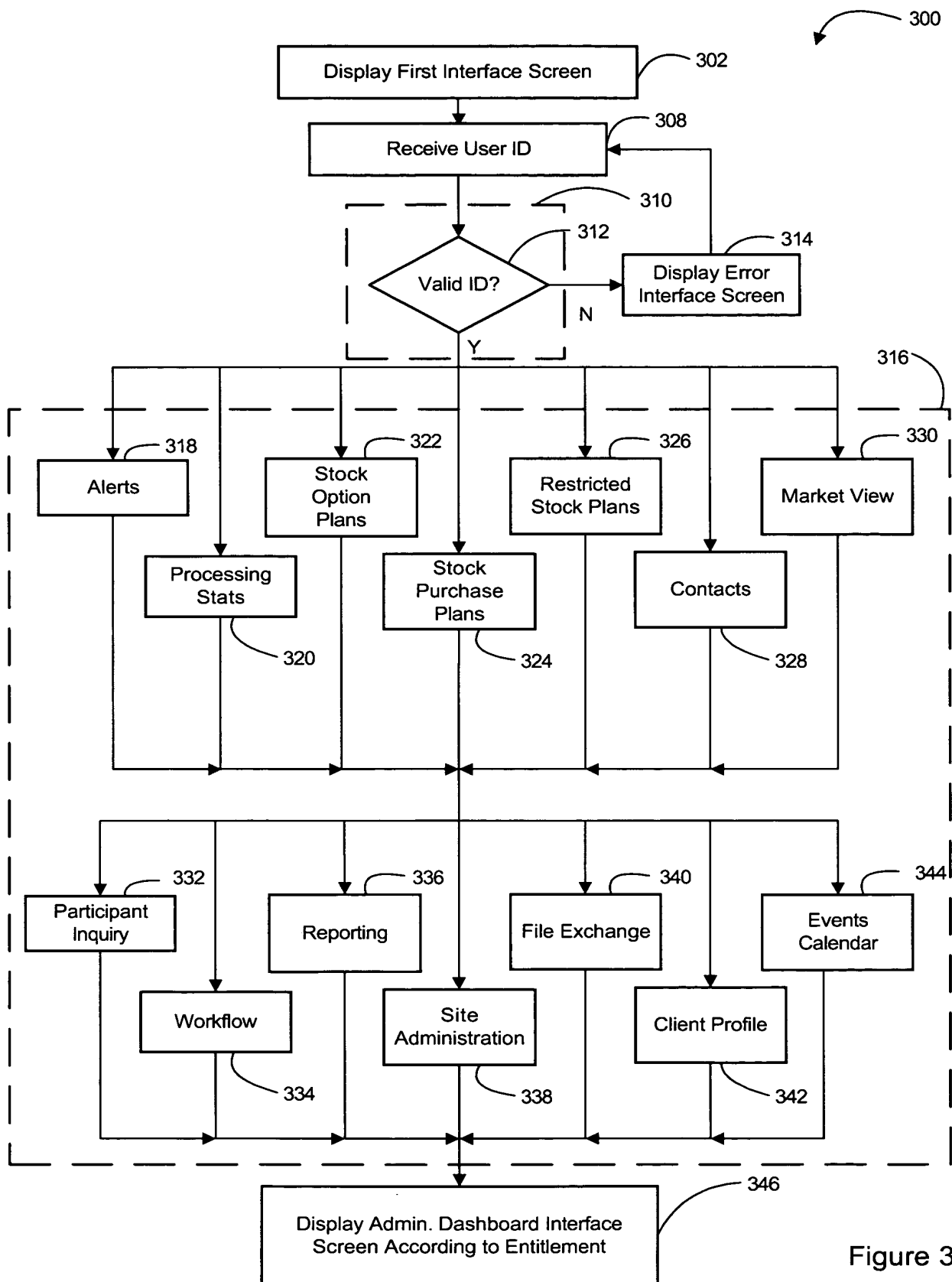


Figure 3

400

Web Admin - Microsoft Internet Explorer

File Edit View Favorites Tools Help

Back Forward Stop Refresh Home Search Favorites History Mail Print Edit

Address http://pww5m44c01-8080/wa/home/index\_dash.hind

UBS PaineWebber

Home Participant Inquiry Work Flow Reporting Site Administration

Company: XYZ Incorporated (Go)

Help Change Password Logout

XYZ Incorporated

Administrator's Dashboard

Friday, July 4, 2002

Alerts

The Internet site will system will be down for maintenance maintenance.

Processing Statistics

Work Flow

Opened 5

In Progress 5

To be Purged 5

Plan Reporting

Unopened 5

To be Purged 5

Plan Activity

Plan Statistics

Stock Options Plans (ESOP)

Options Exercised Yesterday 10,000

Options Vesting Today 5,000

Options Expiring Today 7,000

Shares Settling Today 500

Stock Purchase Plans (ESPP)

Shares Traded Yesterday 10,000

Shares Settling Today 5,000

Shares Released Today 7,500

Restricted Stock Plans (RSA)

Shares Released Today 1,000

402

406

412

408

404

414

Figure 4



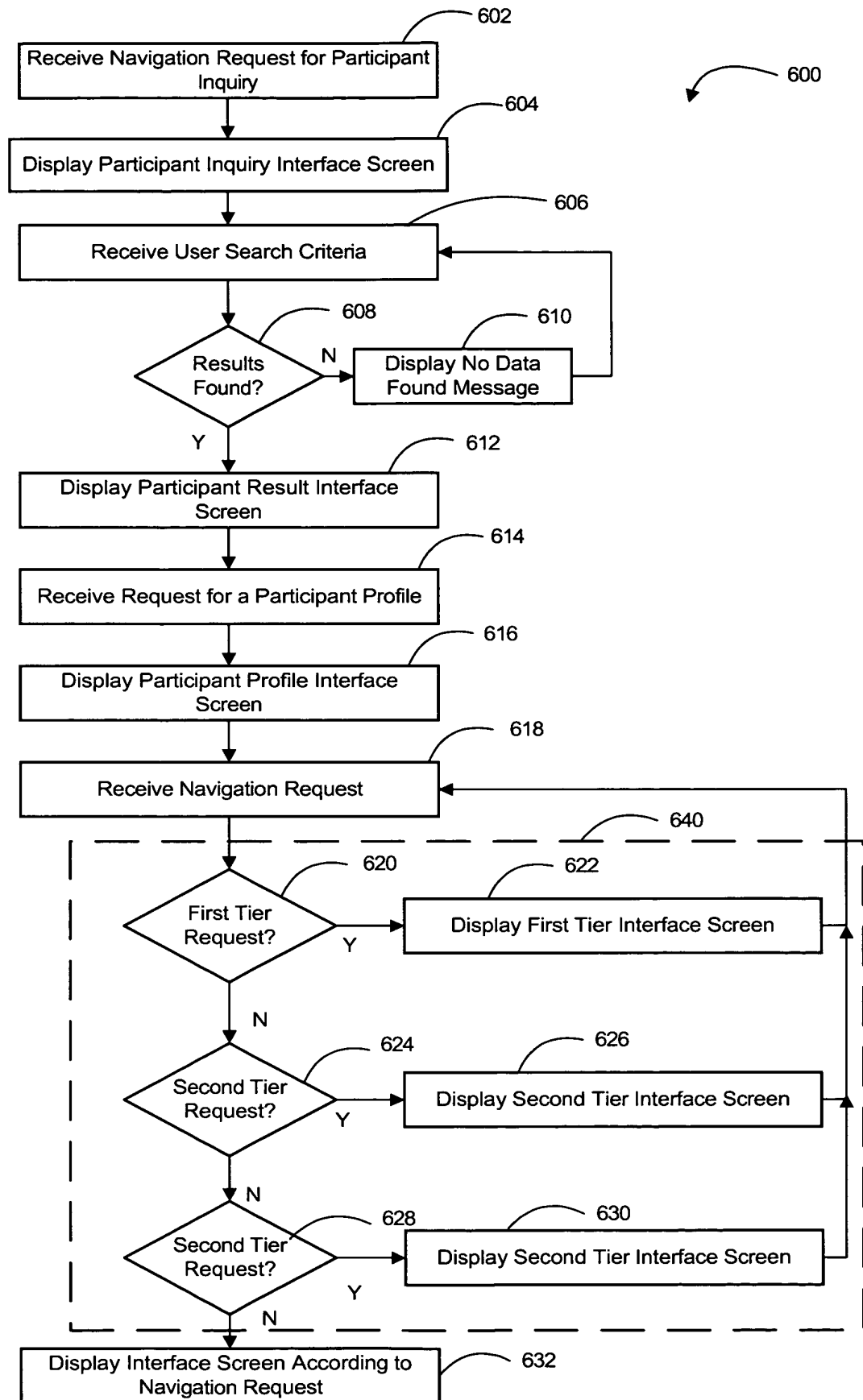


Figure 6

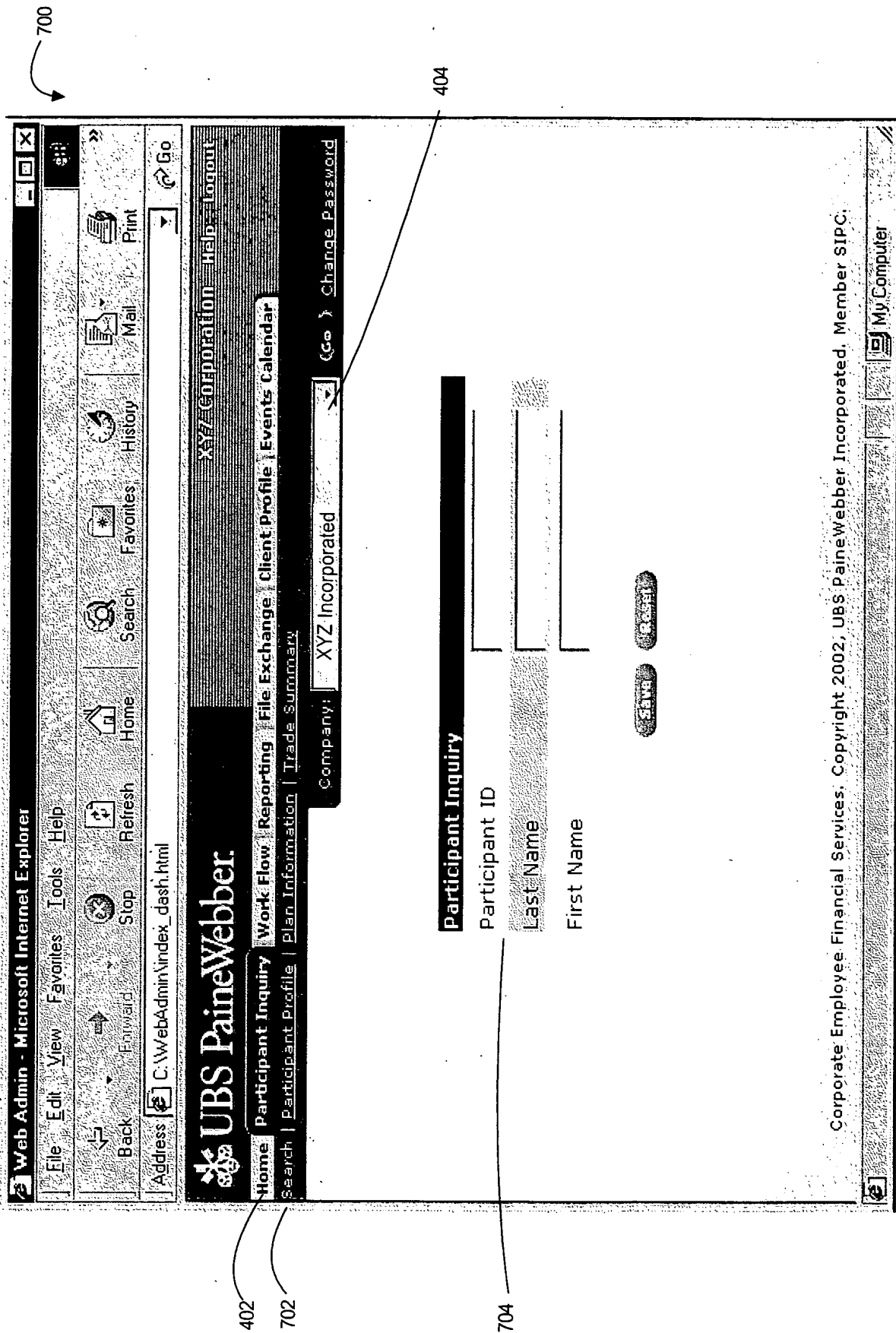


Figure 7



800

Web Admin - Microsoft Internet Explorer

File Edit View Favorites Tools Help

Back Forward Stop Refresh Home Search Favorites History Mail Print Edit Messenger Real.com Messenger

Address C:\WebAdmin\index\_dash.html

XYZ Corporation Help Logout

Company: XYZ Incorporated Change Password

UBS PaineWebber

Home Participant Inquiry Work Flow Reporting File Exchange Client Profile Events Calendar

Search Participant Profile Plan Information Trade Summary

Participant Results

Participant ID	Last Name	First Name	City	State	Country
123456789	Doe	John	New York	New York	USA
2333689994	Doe	Josh	Jersey City	NJ	USA
1000000504	Doe	Kevin	Secaucus	NJ	USA
1000000505	Doe	Larry	Secaucus	NJ	USA
8744458933	Doe	Lawrence	New York	NY	USA
100003501	Doe	Matthew	San Francisco	CA	USA
100003502	Doe	Michael	Secaucus	NJ	USA
100003501	Doe	Patty	New York	New York	USA
777777777	Doe	Ursula	New York	New York	USA

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My Computer

802

Figure 8

900

Web Admin - Microsoft Internet Explorer

File Edit View Favorites Tools Help

Back Forward Stop Refresh Home Search Favorites History Mail Print Edit Messenger Real.com Messenger

Address C:\WebAdmin\index\_dash.html

Go

UBS PaineWebber

Home Participant Inquiry Work Flow/Reporting File Exchange Client Profile Events Calendar

Search Participant Profile Plan Information Trade Summary

Company: XYZ Incorporated (Go) Change Password

Personal

Administration

Comments

Registration

Leave of Absence

Name

Address

Home Phone

Work Phone

Fax Number

Work E-mail

Alternate E-mail

John Doe

123 Main Street  
Apartment #2  
New York, NY 12211  
USA

(212) 453-9889  
(212) 356-8799  
(212) 356-8798  
jdoe@main.net  
jdoe@aol.com

Personal

Social Security

Participant ID

Nickname

Date of Birth

Hire Date

Salary

YTD Taxable

YTD FICA

123-45-6789

123456789

Johnny Boy

March 4, 1964

February 12 1988

\$1,125,000

\$2,225,000

\$4,724

View Tax Code Table

Tax Code

Allocation

FICA (Y/N)

USNY

50%

Y

USNJ

50%

Y

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My Computer

702

902

904

906

Figure 9

1000

Web Admin - Microsoft Internet Explorer

File Edit View Favorites Tools Help

Back Forward Stop Refresh Home Search Favorites History Mail Print Edit Messenger Real.com Messenger

Address C:\WebAdmin\index\_dash.html

**UBS PaineWebber**

Home Participant Inquiry Work Flow Reporting File Exchange Client Profile Events Calendar

Company: XYZ Incorporated (Go) Change Password

Trade Rate Table

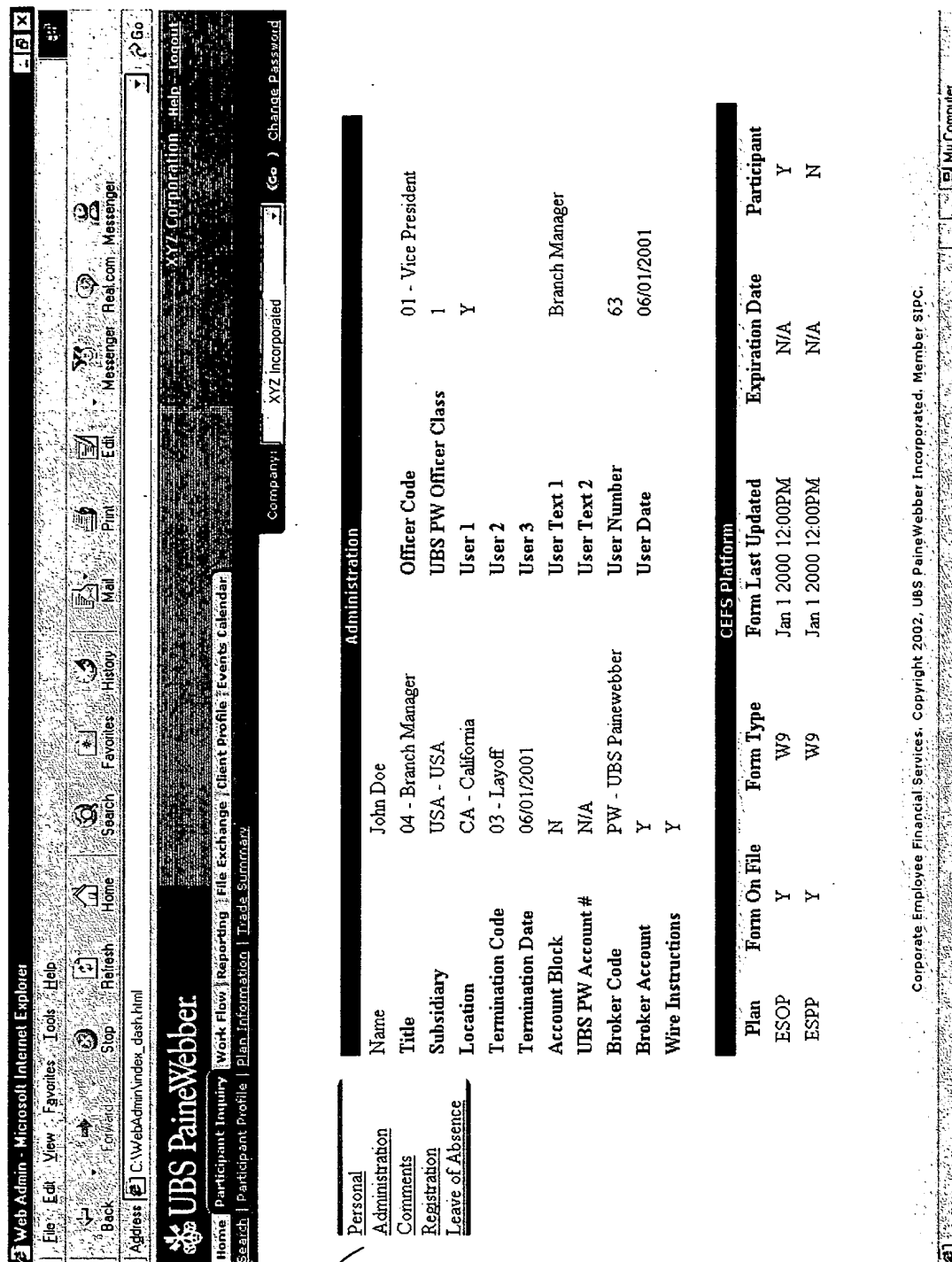
Code	Description	Federal(%)	State (%)	Local 1 (%)	Local 2 (%)	Local 3 (%)	Local 4 (%)	Local 5 (%)	Local 6 (%)	Withhold ISO
AK	Alaska	27.000000	.000000	.000000	.000000	.000000	.000000	.000000	.000000	Y
AL	Alabama	27.000000	5.000000	.000000	.000000	.000000	.000000	.000000	.000000	Y
AR	Arkansas	27.000000	7.000000	.000000	.000000	.000000	.000000	.000000	.000000	Y
CA	California	27.000000	6.000000	.000000	.000000	.000000	.000000	.000000	.000000	Y
DE	Delaware	27.000000	5.95000	.000000	.000000	.000000	.000000	.000000	.000000	Y
FL	Florida	27.000000	.000000	.000000	.000000	.000000	.000000	.000000	.000000	Y
USNJ	New Jersey	27.000000	6.00000	.000000	.000000	.000000	.000000	.000000	.000000	Y
USNY	New York	27.000000	7.35000	.000000	.000000	.000000	.000000	.000000	.000000	Y
UK	UK	.000000	.000000	.000000	.000000	.000000	.000000	.000000	.000000	Y

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Done

My Computer

Figure 10.



1200

Web Admin - Microsoft Internet Explorer

File Edit View Favorites Tools Help

Back Forward Stop Refresh Home Search Favorites History Mail Print Edit Messenger Real.com Messenger

Address C:\WebAdmin\Index\_dash.html

UBS PaineWebber

Home Participant Inquiry Work Flow Reporting File Exchange Client Profile Events Calendar Search Participant Profile Plan Information Trade Summary

Company: XYZ Incorporated (Go) Change Password

Personal Administration Comments Registration Leave of Absence

Name John Smith

Comments There are no comments available for this Participant.

Comments

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My Computer

902

Figure 12

1300

Web Admin - Microsoft Internet Explorer

File Edit View Favorites Tools Help

Back Forward Stop Refresh Home Search Favorites History Mail Print Edit Messenger Real.com Messenger

Address C:\WebAdmin\index\_dash.html

UBS PaineWebber

Home Participant Inquiry Work Flow Reporting File Exchange Client Profile Events Calendar Search Participant Profile Plan Information Trade Summary

Company: XYZ Incorporated (Go) Change Password

Personal

Administration

Comments

Registration

Leave of Absence

Registration

Name

ShareRegistration Name

ShareRegistration Address

John Doe

John and Mary Doe

123 Main Street

Apartment #2

New York, New York

Done

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902

Figure 13

1400

Web Admin - Microsoft Internet Explorer

File Edit View Favorites Tools Help

Back Forward Stop Refresh Home Search Favorites History Mail Print Edit Messenger Real.com Messenger

Address

UBS PaineWebber

Home Participant Inquiry Work Flow Reporting File Exchange Client Profile Events Calendar

Search Participant Profile Plan Information Trade Summary

XYZ Corporation Help Logout

Company:  (Go) Change Password

Personal

Administration

Comments

Registration

Leave of Absence

Leave of Absence

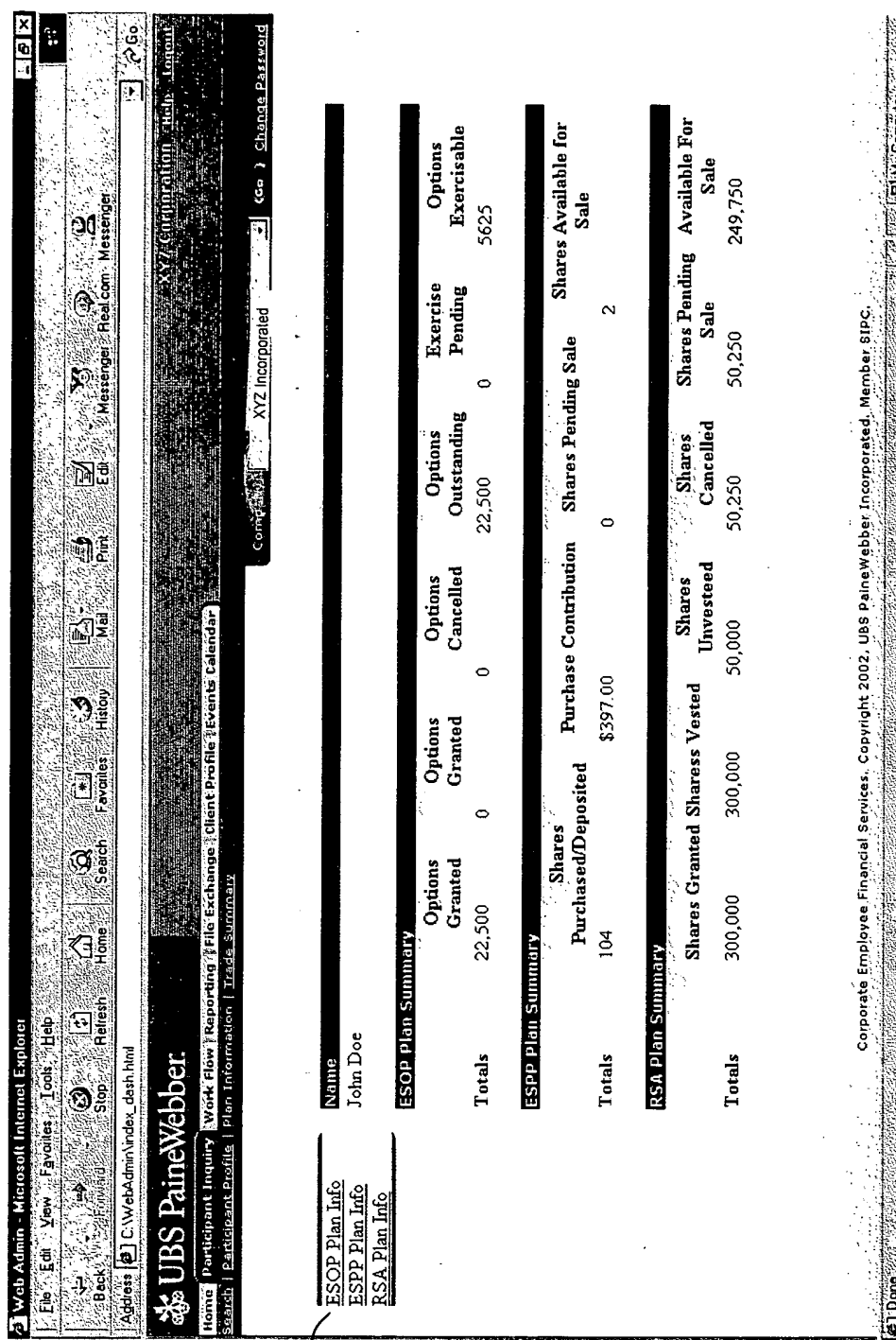
Name	John Doe
Start Date	10/01/2001
Return Date	11/01/2001
Reason	Sore Back

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My Computer

902

Figure 14





1600

Web Admin - Microsoft Internet Explorer

File Edit View Favorites Tools Help

Back Forward Stop Refresh Home Search Favorites History Mail Print Edit Messenger Real com Messenger

Address: C:\WebAdmin\index\_dash.html

XYZ Corporation Help Logout

Company: XYZ Incorporated Go Change Password

UBS PaineWebber

Home Participant Inquiry Work Flow Reporting File Exchange Client Profile Events Calendar

Search Participant Profile Plan Information Trade Summary

ESOP Plan Info

ESPP Plan Info

RSA Plan Info

Name

John Doe

Grant Information

Plan Number	Grant Number	Grant Date	Grant Price	Option Type	Options Granted	Options Exercised	Options Cancelled	Options Outstanding	Exercise Pending	Options Exercisable	Grant Accepted
XYZ423A	GAR00000000128	06/15/2000	\$9.7500	NQO	5,000	1,250	0	3,750	0	0	N/A
XYZ423A	GAR00000000175	06/16/2000	\$9.7500	ISO	5,000	0	0	5,000	0	1,250	N/A
XYZ423B	00000000000185	07/12/2000	\$59.722	NQO	2,500	0	0	2,500	0	625	N/A
XYZ423A	000000000000414	03/19/2001	\$45.012	NQO	5,000	0	0	5,000	0	1,250	N/A
XYZ423A	000000000000129	04/12/2000	\$65.000	NQO	5,000	0	0	5,000	0	1,250	N/A
Totals					22,500	1,250	0	21,250	0	4,375	

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file:///C:/WebAdmin/participant/esoppinfo.jsp My Computer

1502

Figure 16

1700

Web Admin - Microsoft Internet Explorer

File Edit View Favorites Tools Help

Back

Forward

Stop

Refresh

Home

Search

Favorites

History

Mail

Print

Edit

Messenger

Real.com

Messenger

Address

C:\WebAdmin\index\_dash.html

UBS PaineWebber

[Home](#)
[Participant Inquiry](#)
[Work Flow](#)
[Reporting](#)
[File Exchange](#)
[Client Profile](#)
[Events Calendar](#)

[Search](#)
[Participant Profile](#)
[Plan Information](#)
[Trade Summary](#)

XYZ Corporation

Company: XYZ Incorporated

Go

Change Password

ESOP Plan Info

ESPP Plan Info

RSA Plan Info

Name

John Doe

Grant Detail

Plan Number	Grant Number	Grant Date	Grant Price	Option Type	Options Granted	Options Cancelled	Options Exercised	Options Outstanding	Exercise Pending	Options Exercisable	Options Accepted	Grant
XYZ423A	GAR0000000128	06/15/2000	\$9.7500	NQO	5,000	1,250	0	3,750	0	0	0	N/A

Future Vesting

Shares Granted	Vested	Cancelled	Vesting Date	Expiration Date
1250	0	0	06/15/2002	06/15/2010
1250	0	0	06/15/2003	06/15/2010
1250	0	0	06/15/2004	06/15/2010

Exercise Summary

Exercise Date	Exercise Type	Option Price	Options Exercised	Option Cost	Exercise FMV	Gross Income
11/28/2000	Same-Day-Sale	\$9.7500	625	\$6,093.75	\$65,000.00	\$40,625.00
12/15/1999	Same-Day-Sale	\$9.7500	625	\$6,093.75	\$72,250.00	\$45,156.25

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Done

1502

Figure 17

1800

Web Admin - Microsoft Internet Explorer
File Edit View Favorites Tools Help
Back Forward Stop Refresh Home Search Favorites History Mail Print Edit Messenger Real.com Messenger
Address C:\WebAdmin\index\_dash.html
Go

**UBS PaineWebber**

Home Participant Inquiry Work Flow Reporting File Exchange Client Profile Events Calendar
Search Participant Profile Plan Information Trade Summary

Company: XYZ Incorporated
Go Change Password

ESOP Plan Info
ESPP Plan Info
RSA Plan Info

Name  
John Doe

Purchase Summary

Plan Number	Offering Period Start Date	Offering Period ID	Shares available for Purchase	Dollars Applied to Purchase	Residual Balance	Shares Purchased/ Deposited	Purchase/ Deposit Price	Shares Available for Sale	Date
XYZ423A	11/04/1994	FG78495	0	\$52.00	39	39	12/31/1998 \$38.4625	0	12/3
XYZ423A	09/17/1997	67321FD	0	\$134.00	33	33	12/31/1999 \$45.87344	2	12/3
XYZ423B	03/24/1999	342225W	32	\$211.00	32	32	12/31/2000 \$48.05	0	12/3
<b>Totals</b>			<b>32</b>	<b>\$397.00</b>	<b>104</b>	<b>104</b>		<b>2</b>	

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file:///C:/WebAdmin/participant/escppaninfo.jsp
My Computer

1502

Figure 18

1900

Web Admin - Microsoft Internet Explorer

File Edit View Favorites Tools Help

Back Forward Stop Refresh Home Search Favorites History Mail Print Edit Messenger Real.com Messenger

Address C:\WebAdmin\index\_dash.html

XYZ PaineWebber

Home Participant Inquiry Work Flow Reporting File Exchange Client Profile Events Calendar Search Participant Profile Plan Information Trade Summary

Company: XYZ Incorporated Change Password

ESOP Plan Info

ESPP Plan Info

RSA Plan Info

Name

John Doe

Grant Information

Plan Number	Grant Number	Grant Date	Option Type	Shares Granted	Shares Vested	Shares Cancelled	Shares Pending Sale	Available For Sale
XYZ423F	0000000000000016	04/20/2002	RES	250,000	200,000	0	250	199,750
XYZ423G	0000000000000020	04/27/2002	RES	50,000	50,000	0	50,000	1,250
Totals				300,000	250,000	0	50,250	201,000

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File:///C:/WebAdmin/participant/esppinfo.jsp My Computer

1502

Figure 19

2000

PL\_15 - Microsoft Internet Explorer

File Edit View Favorites Tools Help

Back Forward Stop Refresh Home

Search Favorites History Mail Print Edit

Address http://pwwf654401/participanting/PL\_15.htm

Go Links

UBS PaineWebber

[Home](#)
[Participant Inquiry](#)
[Work Flow](#)
[Plan Reporting](#)
[Site Administration](#)

XYZ INCORPORATED

[Search](#)
[Participant Profile](#)
[Plan Information](#)
[Trade Summary](#)

Help

Change Password

Logout

XYZ Incorporated

Grant Detail

Plan Number	Grant Number	Grant Date	Grant Price	Shares Granted	Shares Vested	Shares Cancelled	Shares Pending for Sale	Shares Available for Sale
XYZ423F	0000000000016	04/20/2002	\$0.0000	250,000	200,000	0	250	199,750

Future Vesting

Shares Vesting	Vest Date
50,000	04/20/2003

Lapse Summary

Exercise Date	Withhold/Cash	Grant Price	Shares Exercised	Exercise FMV	Gross Income
06/05/2002	Withhold	\$0.0000	200,000	\$65.0000	\$16,250.00

Done Local Internet

1502

Figure 20

2100

Web Admin - Microsoft Internet Explorer

File Edit View Favorites Tools Help

Back Forward Stop Refresh Home Search Favorites History Mail Print Edit Messenger Real.com Messenger

Address: C:\WebAdmin\index\_dash.html

XYZ Corporation Help Logout

Company: XYZ Incorporated Go Change Password

UBS PaineWebber

Home Participant Inquiry Work Flow Reporting File Exchange Client Profile Events Calendar

Search Participant Profile Plan Information Trade Summary

Name

John Doe

Cost Basis (Award Price)	Tax Basis (Award FNU)	Tax Payment Method	Federal Tax	State Tax	Local 1 Tax	Local 2 Tax	Local 3 Tax	Local 4 Tax	Local 5 Tax	Local 6 Tax	Social Security	Medicare	Total Taxes Paid	Shares Used for Taxes
\$0.0000	\$16,250.00	Withhold	\$4,387.50	\$1,195.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$235.62	\$5,820.12	90

Done

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My Computer

Figure 21

2200

Web Admin - Microsoft Internet Explorer

File Edit View Favorites Tools Help

Back Forward Stop Refresh Home Search Favorites History Mail Print Edit Messenger Real.com Messenger

Address [http://www.ubs.com/xyz/index\\_dash.html](#)

UBS PaineWebber

Home Participant Inquiry Work Flow Reporting File Exchange Client Profile Events Calendar Search Participant Profile Plan Information Trade Summary

XYZ Corporation - Main Logout

Company: XYZ Incorporated (Go) Change Password

Name

John Doe

Trade Summary

Reference Number	Benefit Plan	Entry Date	Quantity	Order Status	Order Type	Transaction Type	Limit Price	Execution Price	Entered Payment Method	Name	Cash	Shares on Delivery
<a href="#">XY149</a>	ESOP	11/28/2000	625	EXE	DAY	SDS	\$65.00	\$65.00	FA Account	N/A	N/A	N/A
<a href="#">XY148</a>	ESOP	11/28/2000	625	*CXL	LIMIT	SDS	N/A	\$95.00	FA Check	N/A	N/A	N/A
<a href="#">XY147</a>	ESOP	11/28/2000	625	MEXE	MKT	SDS	N/A	\$57.00	FA Account	N/A	N/A	N/A

Account #:

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My Computer

Figure 22

2300

Web Admin - Microsoft Internet Explorer

File Edit View Favorites Tools Help

Back Forward Stop Refresh Home Search Favorites History Mail Print Edit Messenger Real.com Messenger

Address: C:\WebAdmin\index\_dash.html

**UBS PaineWebber**

Home Participant Inquiry Work Flow Reporting File Exchange Client Profile Events Calendar

Search Participant Profile Plan Information Trade Summary

Company: XYZ Incorporated (Go) Change Password

XYZ Corporation - Help Logout

### Transaction Worksheet

Name: John Doe

Limit Price/Share: \$65.00

Grant Type: NQO

Federal Tax Rate: 27%

State Tax Rate: 7.35%

Expressed in USD		11/28/2000	Total
Shares Exercised	625		625
Gross Fair Market Value	\$40,625.00		\$40,625.00
Option Cost	\$6,093.75		\$6,093.75
Federal Tax	\$9,323.44		\$9,323.44
State Tax	\$2,538.05		\$2,538.05
Local 1 Tax	\$0.00		\$0.00
Local 2 Tax	\$0.00		\$0.00
Local 3 Tax	\$0.00		\$0.00
Local 4 Tax	\$0.00		\$0.00
Local 5 Tax	\$0.00		\$0.00
Local 6 Tax	\$0.00		\$0.00
FICA	\$0.00		\$0.00

Done

Figure 23



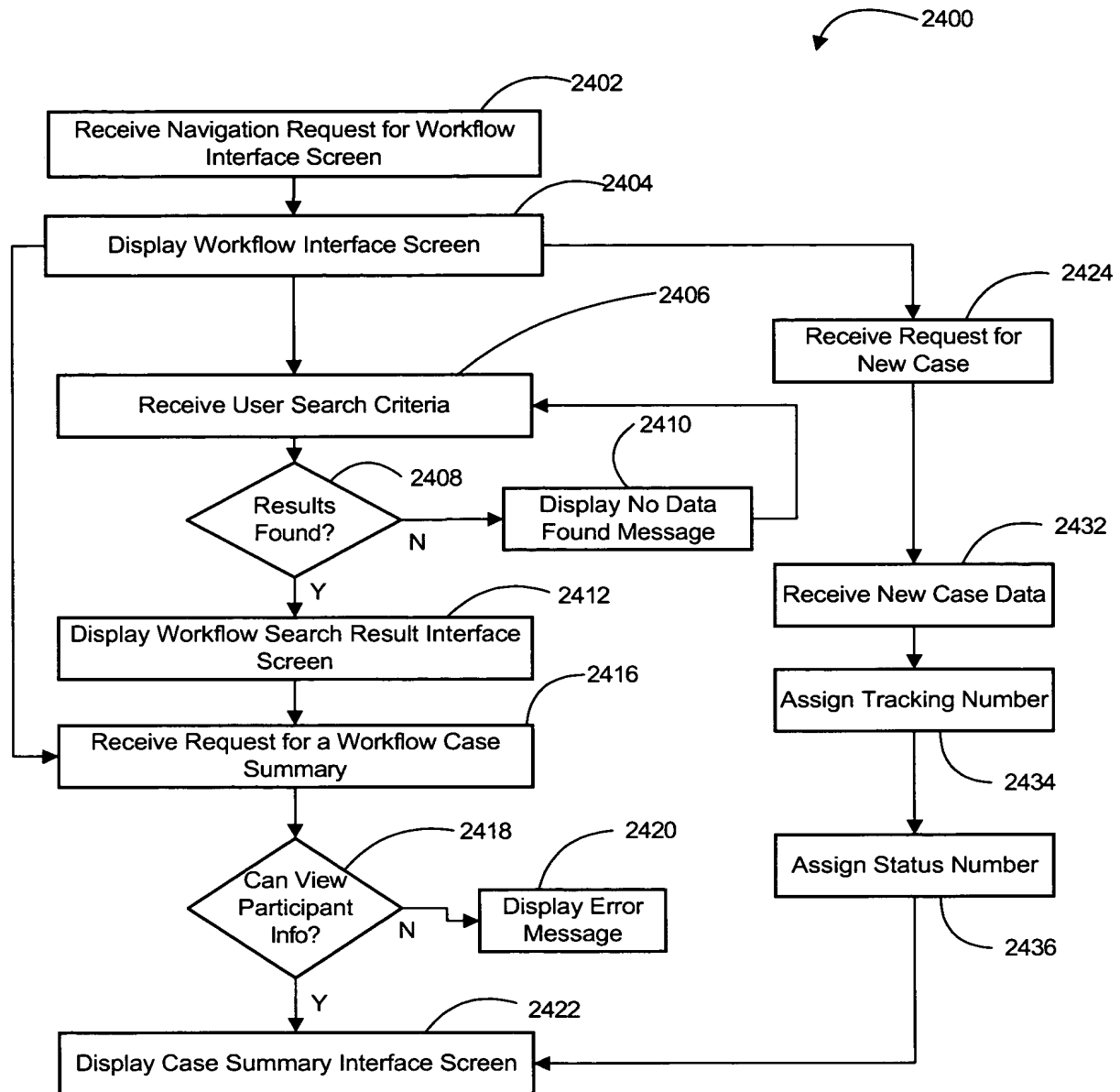


Figure 24

2500

HOME - Microsoft Internet Explorer

File Edit View Favorites Tools Help

Back Forward Stop Refresh Home Search Favorites History Mail Print Edit Create Model... Go Links

Address S:\WebRoot\Site\Demo\WorkFlow\Index.htm

**UBS PaineWebber.**

Help Change Password Logout

Home Participant Inquiry Work Flow Plan Reporting Site Administration New/Status Search

**XYZ**  
INCORPORATED

**New Request**

Participant ID:

Request Type:

Choose One

**Search**

Tracking Number:

**Open**

Tracking	Open Date	Participant ID	Name	Request Type
777777	01/01/2002	123456789	Doe, John	General
187468	12/31/2001	123456789	Doe, John	Block
582345	12/30/2001	123456789	Doe, John	Insider
999999	12/27/2001	123456789	Doe, John	Demographic
545454	12/25/2001	123456789	Doe, John	Grant

[More](#)

**In Progress**

Tracking	Open Date	Participant ID	Name	Request Type
815653	12/31/2001	123456789	Smith, Bob	Grant
987468	12/15/2001	55578891	Smith, Bill	Block

Local Internet

402

702

2504

2506

Figure 25

2600

SEARCH - Microsoft Internet Explorer

File Edit View Favorites Tools Help

Back Forward Stop Refresh Home Search Favorites History Mail Print Edit Discuss

Address <http://pww654401/webadmin/SEARCH.htm> Go Links

---

**UBS PaineWebber.**

Home | Participant Inquiry | Work Flow | Plan Reporting | New Status | Search

**XYZ**  
INCORPORATED

Security Administration Help Change Password Logout

---

**Search**

Tracking Number	<input type="text"/>
Participant ID	<input type="text"/>
Request Type	<input type="text"/>
Status	<input type="text"/>
Priority	<input type="text"/>
Open Date (MM/DD/YYYY)	<input type="text"/> 05/26/2002 to <input type="text"/> 05/26/2002
Closed Date (MM/DD/YYYY)	<input type="text"/> to <input type="text"/>
Submitter	<input type="text"/>
Sort Order	<input type="text"/> Ascending Descending

**SUBMIT**

---

Start Local Internet

Figure 26

2700

Test - Microsoft Internet Explorer

File Edit View Favorites Tools Help

Back Forward Stop Refresh Home Search Favorites History Mail Print Edit Discuss

Address http://www.654401/webadmin/test.htm

Go Links

UBS PaineWebber.

Home Participant Inquiry Work Flow Plan Reporting

New Status Search

XYZ CORPORATION

Security Administration Help Change Password Logout

Tracking	Participant ID	Name	Request Type	Status	Open Date	Closed Date	Priority	Submitter
277777	123456789	Doe, John	General	Open	1/1/2002		Low	XYZ_User1
187468	555778891	Smith, Bill	Block	Open	12/31/2001		Low	XYZ_User2
582345	888888888	Doe, Joe	Insider	Open	12/30/2001		High	XYZ_User1
999999	333778833	Smith, Jane	Demographic	Open	12/27/2001		High	XYZ_User3
545454	444556666	Doe, Jill	Grant	Open	12/25/2001		Low	XYZ_User1
127468	555778891	Smith, Bill	Termination	Open	12/11/2001		Low	XYZ_User2
592345	123456789	Doe, John	Tax Profile Change	Open	12/11/2001		High	XYZ_User1
545454	444556666	Doe, Jill	Grant	Open	12/10/2001		Low	XYZ_User3

Pages : 1 2 [Next>>]

Back To Top

Done Start

Local Internet

Figure 27

2800


GENERAL\_2 - Microsoft Internet Explorer

File Edit View Favorites Tools Help

Back Forward Stop Refresh Home Search Favorites History Mail Print Edit Discuss

Address http://pwwp654401/webadmin/GENERAL\_2.htm

Go Links

UBS PaineWebber.

Home

Participant Inquiry

Work Flow

Plus Reporting

NAVY STATUS

Search

XYZ

INCORPORATED

Security Administration Help Change Password Logout

Request Type

General

Priority

☐ High ☒ Medium ☐ Low

Participant ID

123456789

Last Name

Doe

First Name

John

Comments

Attach File

Browse

E-mail notification

☐ At Submission ☒ At Completion

SUBMIT

Start

Local intranet

Figure 28

2900

DEMO\_3 - Microsoft Internet Explorer

File Edit View Favorites Tools Help

Back Forward Stop Refresh Home Search Favorites History Mail Print Edit Discuss

Address http://pww654401/webadmin/DEMO\_3.htm

Go Links

UBS PaineWebber

Home Participant Inquiry Work Flow

Plan Reporting

XYZ INCORPORATED

New Status Search

Security Administration Help Change Password Logout

Request Type Demographic

Priority ☐ High ☒ Medium ☐ Low

Participant ID 333773333

Last Name Smith

First Name Jane

Address1 123 Main Street

Address2

Address3

City Miami

State FL

Zip 12345

Country USA

Home Phone (555)555-5555

Work Phone

Comments

☐ At Submission ☒ At Completion

☐ E-mail notification

SUBMIT

Start

Local intranet

Figure 29

3000

GRANT\_2 - Microsoft Internet Explorer

File Edit View Favorites Tools Help

Back Forward Stop Refresh Home Search Favorites History Mail Print Edit Create Model... Go Links

Address S:\alex\rosentha\Demo\WorkFlow\GRANT\_2.htm

---

**UBS PaineWebber.**

Home Participant Inquiry Work Flow Plan Reporting Site Administration

New Status Search

---

**XYZ**  
INCORPORATED

Request Type		Grant	
Priority	<input type="radio"/> High <input type="radio"/> Medium <input type="radio"/> Low		
Participant ID	123456789	Last Name	Doe
Action Type	<input type="radio"/> New <input type="radio"/> Modify <input type="radio"/> Cancel	First Name	John
Grant ID	Choose One	Grant Type	
Plan	Choose One	Grant Code	
Grant Date (MM/DD/YYYY)	GAR00000000000128 GAR00000000000175 00000000000000414 0000000000000120	Grant Price	\$0.00
Vest Schedule		Quantity	
		Expiration Date (MM/DD/YYYY)	/ /
		Vest from Date (MM/DD/YYYY)	/ /
		Vest from Hire Date	<input type="radio"/> Yes <input type="radio"/> No
Comments			
E-mail notification	<input type="checkbox"/> At Submission <input checked="" type="checkbox"/> At Completion		

Done

Figure 30

3100

Microsoft Internet Explorer

File Edit View Favorites Tools Help

Back Forward Stop Refresh Home Search Favorites History Mail Print Edit Discuss

Address http://pww654401/webadmin/TERM.htm

Security Administration Help Change Password Logout

UBS PaineWebber.

Home Participant Inquiry Work Flow Plan Reporting

New Feature Search

XYZ

INCORPORATED

Request Type Termination

Priority ☐ High ☐ Medium ☒ Low

Participant ID 555778891

Last Name Smith

First Name Bill

Account Block ☐ Block ☐ Unblock

Termination ID/Reason 01 Voluntary

Termination Date MM/DD/YYYY 05/07/2001

Comments

E-mail notification ☐

AK Submission ☐

AK Completion ☒

SUBMIT

Done

Start

Local intranet

Figure 31



3200

TAXPROFILE - Microsoft Internet Explorer

File Edit View Favorites Tools Help

Back Forward Stop Refresh Home Search Favorites History Mail Print Edit Discuss

Address http://pwwp55401/webadmin/TAXPROFILE.htm

Go Links

UBS PaineWebber

Home Participant Inquiry Work Flow Plan Reporting

XYZ INCORPORATION

New Status Search

Security Administration Help Change Password Logout

Request Type

Tax Profile Change

Priority

☐ High ☒ Medium ☐ Low

Participant ID

123456789

Last Name

Doe

First Name

John

FICA (Y/N)

☒ Yes ☐ No

YTD FICA

\$4,500.00

Tax Code

USNY

Allocation %

50.00%

Tax Code

USNY

Allocation %

50.00%

Tax Code

Allocation %

Tax Code

Allocation %

Total Allocation %

100.00%

Comments

E-mail notification

☐ At Submission ☒ At Completion

Done Start

Local Internet

SUBMIT

Figure 32

3200

UBS PaineWebber.

Home

Participant Inquiry

Work Flow

New/Status

Search

Plan Reporting

Site Administration

Help

Change Password

Logout

XYZ

SECURITIES

Request Type

Exercise Revision

Priority

☐ High ☐ Medium ☐ Low

Participant ID

123456789

Last Name

Doe

First Name

John

Action Type

☐ Modify ☐ Delete

Order Ref#

Choose One

Exercise Date

/  /

Exercise Type

Sale Price  \$0.000000 FMV  \$0.000000

Grant ID

/  /

Grant Date

(MM/DD/YYYY)

Grant Price

/  /

Quantity

Tax Rates

Federal Rate

27.00 %

Local1 Rate

%

Local4 Rate

%

State Rate

%

Local2 Rate

%

Local5 Rate

%

FICA (Y/N)

Local3 Rate

%

Local6 Rate

%

Comments

E-mail notification

☐ At Submission ☒ At Completion

SUBMIT

Figure 33

3400

BLUCK - Microsoft Internet Explorer

File Edit View Favorites Tools Help

Back Forward Stop Refresh Home Search Favorites History Mail Print Edit Discuss

Address http://www654401/webadmin/BLUCK.htm

Go Links

UBS PaineWebber

Home Participant Inquiry Work Flow Plan Reporting

XYZ INCORPORATED

New Status Search

Security Administration Help Change Password Logout

Request Type Block

Priority ☐ High ☐ Medium ☒ Low

Participant ID 55578891 Last Name Smith First Name Bill

Account Type ☐ Option ☐ Stock Purchase

Account Block ☒ Block ☐ Unblock

Comments

Email notification ☐ At Submission ☒ At Completion

SUBMIT

Done Start

Local Internet

Figure 34

3500

INSIDER - Microsoft Internet Explorer

File Edit View Favorites Tools Help

Back Forward Stop Refresh Home Search Favorites History Mail Print Edit Discuss

Address http://pww65401/webadmin/INSIDER.htm

Go Links

---

Security Administration Help Change Password Logout

---

UBS PaineWebber.

Home Participant Inquiry Work Flow Plan Reporting

XYZ CORPORATION

News Status Search

---

Request Type		Insider	
Priority	<input type="radio"/> High <input type="radio"/> Medium <input checked="" type="radio"/> Low		
Participant ID	123456789	Last Name	Doe
Action Type	<input checked="" type="radio"/> Block <input type="radio"/> Unblock	First Name	John
Insider Code	02 Rule 144		
Comments			
<div></div>			
E-mail notification	<input type="checkbox"/> At Submission	<input checked="" type="checkbox"/> At Completion	
<div>SUBMIT</div>			

Start Local intranet

Figure 35

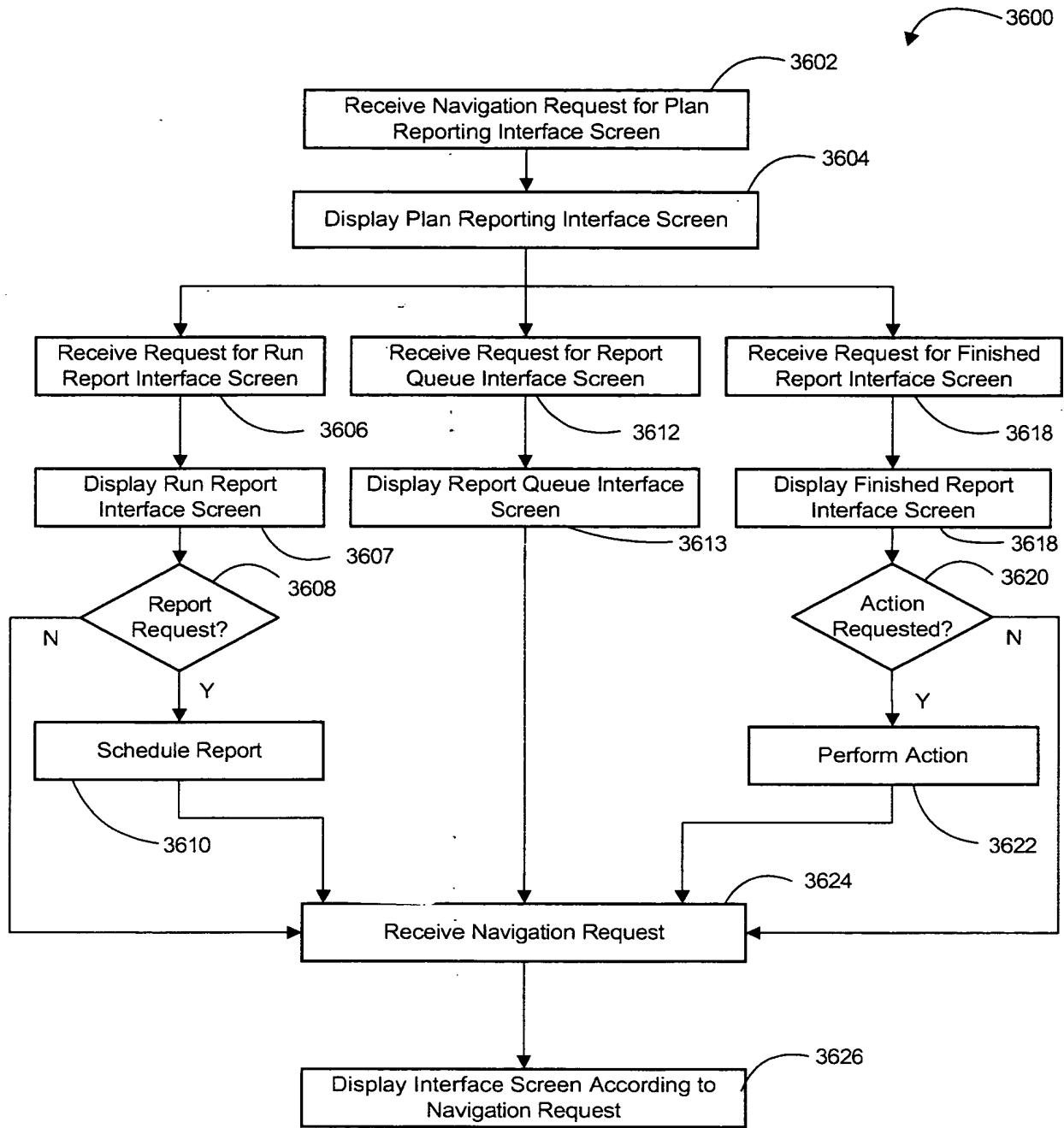


Figure 36

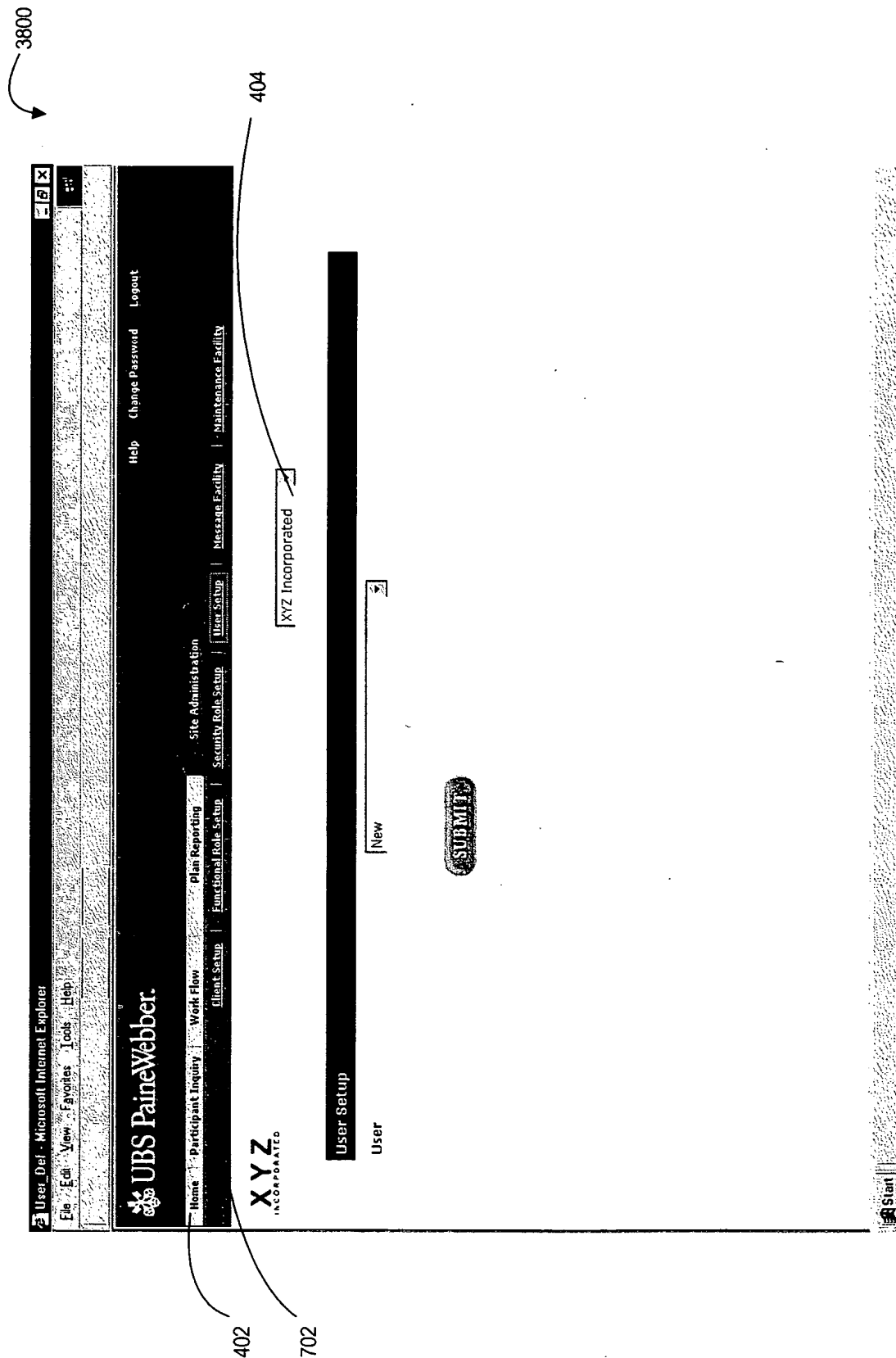


Figure 37

User\_Def\_screen2 - Microsoft Internet Explorer

File Edit View Favorites Tools Help

Back Forward Stop Refresh Home Search Favorites History Mail Print Edit Messenger

Address [s:\PEWeb\Docs\Web Administration\demo\Site Administration\User\\_Def\\_screen2.htm](#)

Go Links

UBS PaineWebber

Home Participant Inquiry Work Flow Client Setup Functional Role Setup Plan Reporting Site Administration

Help Change Password Logout

XYZ INCORPORATED

XYZ Incorporated

User Setup

User ID

[ ]

[Changing the type for new users only]

Internal External

Last Name

[ ]

First Name

[ ]

Password

[ ]

Re-Enter Password

[ ]

Block User

☐ Yes ☒ No

Block Reason

[ ]

Company

GEMS Inc.  
ABC123 Corporation  
XYZ Incorporated  
YUM Incorporated

Security Role for All Companies

[ ]

Work Phone

[ ]

Home Phone

[ ]

Work E-mail

[ ]

Mobile

[ ]

Work Fax

[ ]

[ ]

Done

Local intranet

Figure 38

4000

Role\_Profile - Microsoft Internet Explorer

File Edit View Favorites Tools Help

Back Forward Stop Reload Home Search Favorites History Mail Print Edit Messenger

Address S:\PEWeb\Docs\Web Administration\demo\Site Administration\Role\_Profile.htm

Go Links

UBS PaineWebber.

Home Participant Inquiry Work Flow Plan Reporting Site Administration

Client Setup Functional Role Setup Security Role Setup User Setup Message Facility Maintenance Facility

Help Change Password Logout

XYZ INCORPORATED

XYZ Incorporated

Functional Role Setup -- For a company specified above

Role Type ☒ Internal ☐ External [Choice will be only available if New is chosen and no Model After]

Role Name

Role Description

Block Status ☐ Block ☒ Unblock Block Reason

[Functions displayed below will be driven by company permissions for internal or external roles depending on the chosen Role Type above]

Application Sub-Application Function

☐ Participant Inquiry

☐ Participant Profile

☐ Administration

☐ Comments

Done Local intranet

Figure 39



Web Admin - Microsoft Internet Explorer

File Edit View Favorites Tools Help

Address Links

Help Change Password Logout

UBS Financial Services Inc.

Company: XYZ Corporation (Set as default)

Dashboard Participant Inquiry Work Flow Plan Reporting Site Administration  
Client Setup User Setup Functional Role Setup Security Role Setup Message Facility Create New Client

X.Y.Z. MICHAEL SHAFFER (me04558)

### Security Role Setup

Security Level	Security Level 1
Role Type	<input checked="" type="radio"/> Internal
Role Name	
Role Description	
Block Status	<input type="radio"/> Block <input checked="" type="radio"/> Unblock
Block Reason	
Functions	<input checked="" type="checkbox"/> Site Administration (Security Level 5) <input type="checkbox"/> Client Setup (Security Level 5) <input type="checkbox"/> Functional Role Setup (Security Level 4) <input type="checkbox"/> Security Role Setup (Security Level 2) ALL <input type="checkbox"/> User Setup (Security Level 4) <input type="checkbox"/> Message Facility (Security Level 5)

Done Start

Inbox - Microsoft... Inbox - Microsoft... FW - Options St... Web Admin - M... Local Intranet

3:24 PM

Figure 40

Web Admin - Microsoft Internet Explorer
File Edit View Favorites Tools Help
Back Forward Stop Address Links
Help Change Password Logout

UBS Financial Services Inc.

Dashboard Participant Inquiry Work Flow Plan Reporting Site Administration
Client Setup User Setup Functional Role Setup Security Role Setup Message Facility Create New Client

X.Y.Z MICHAEL SHAFFER (me04558)
Company: XYZ Corporation (Set as default)

General Information
Contact Information
Row Filter Setup
Application Selection
Data Source Setup
Data Source Recovery

General Information
Org ID
999
XYZ
XYZ Corporation
Admin Type
Full Admin Partial Admin
Block / Unblock
Block Unblock
Stock Options Active Date
10/29/02
Stock Purchase Active Date
10/29/02
Restricted Stock Active Date
10/29/02
Save Reset

Important Legal Information
Copyright 2002, UBS Financial Services Inc. Member SIPC.
Done
Start
Inbox - Microsoft...
Inbox - Microsoft...
Web Admin - M...
Local intranet
8:36 AM

Figure 41

Web Admin - Microsoft Internet Explorer

FileEditViewFavoritesToolsHelp

BackForwardStopAddress

UBS

DashboardParticipant InquiryWork Flow Plan ReportingSite Administration

Client SetupUser SetupFunctional Role SetupSecurity Role SetupMessage FacilityCreate New Client

UBS Financial Services Inc.

HelpChange PasswordLogout

Company: XYZ Corporation (Set as default)

Michael Shaffer (me04558)

General Information

Contact Information

Row Filter Setup

Application Selection

Data Source Setup

Data Source Recovery

UBS Contact Information

Designation

Primary Admin

Senior Admin

Primary CRM

Senior CRM

Client Contact Information

Contact 1Senior Benefits Admin

Contact 2Compliance Contact

Contact 3Senior Payroll Admin

Contact 4Global Benefits Admin

Name

Neqvi, Suhail [se03869]

Mau, Dan [de04188]

Patel, Prakash [pe04545]

Bilicska, Marcella [me04849]

Doe, John [jw00005]

Morrisey, Sandra [sw00105]

mclanahan, michael [mw00009]

Tobin, Robert [rw00021]

SaveCancel

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Start

https://efswaust-ubstest.com/webapp/wa/apply/cs/clientcontact.edit

Local intranet

8:37 AM

Figure 42

Web Admin - Microsoft Internet Explorer

File Edit View Favorites Tools Help

Address

Links

Back

Forward

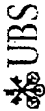
Home

Stop

Print

Local intranet

8:37 AM



UBS

Dashboard | Participant Inquiry | Work Flow | Plan Reporting | Site Administration

Client Setup | User Setup | Functional Role Setup | Security Role Setup | Message Facility | Create New Client

Company: XYZ Corporation (Set as default)

Help | Change Password | Logout

General Information

Contact Information

Row Filter Setup

Application Selection

Data Source Setup

Data Source Recovery

Column Selection for Row Filtering

Please choose the columns that will be used for Row Filtering

☒ Location

☒ Subsidiary

☒ Country

☐ User Code 1

☐ User Code 2

☐ User Code 3

☐ User Text 1

☐ User Text 2

50

50

50

0

0

0

0

0

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Important Legal Information

Inbox - Microsoft

Inbox - Microsoft

Web Admin - M...

Document1 - Mic...

Figure 43

Web Admin - Microsoft Internet Explorer
File Edit View Favorites Tools Help
Back Forward Stop Address Links
Help Change Password Logout

UBS Financial Services Inc.

Dashboard | Participant Inquiry | Work Flow | Plan Reporting | Site Administration
Client Setup | User Setup | Functional Role Setup | Security Role Setup | Message Facility | Create New Client

X.Y.Z. MICHAEL SHAFFER (me04558)
Company: XYZ Corporation (Set as default)

General Information
Contact Information
Row Filter Setup
Application Selection
Data Source Setup
Data Source Recovery

Application Selection
Application/Function
Premier Services
FA Dashboard

Home Page
Alerts
Processing Statistics
Stock Option Plans
Stock Purchase Plans
Restricted Stock Plans
PW Contacts
Client Contacts
Market View

Participant Inquiry
Participant Profile
Plan Information
Trade Summary
Contacts

Work Flow

External

Done
Start
Inbox - Microsoft...
Inbox - Microsoft...
Web Admin - M...
Document1 - Mic...
Local Internet
8:38 AM

Figure 44

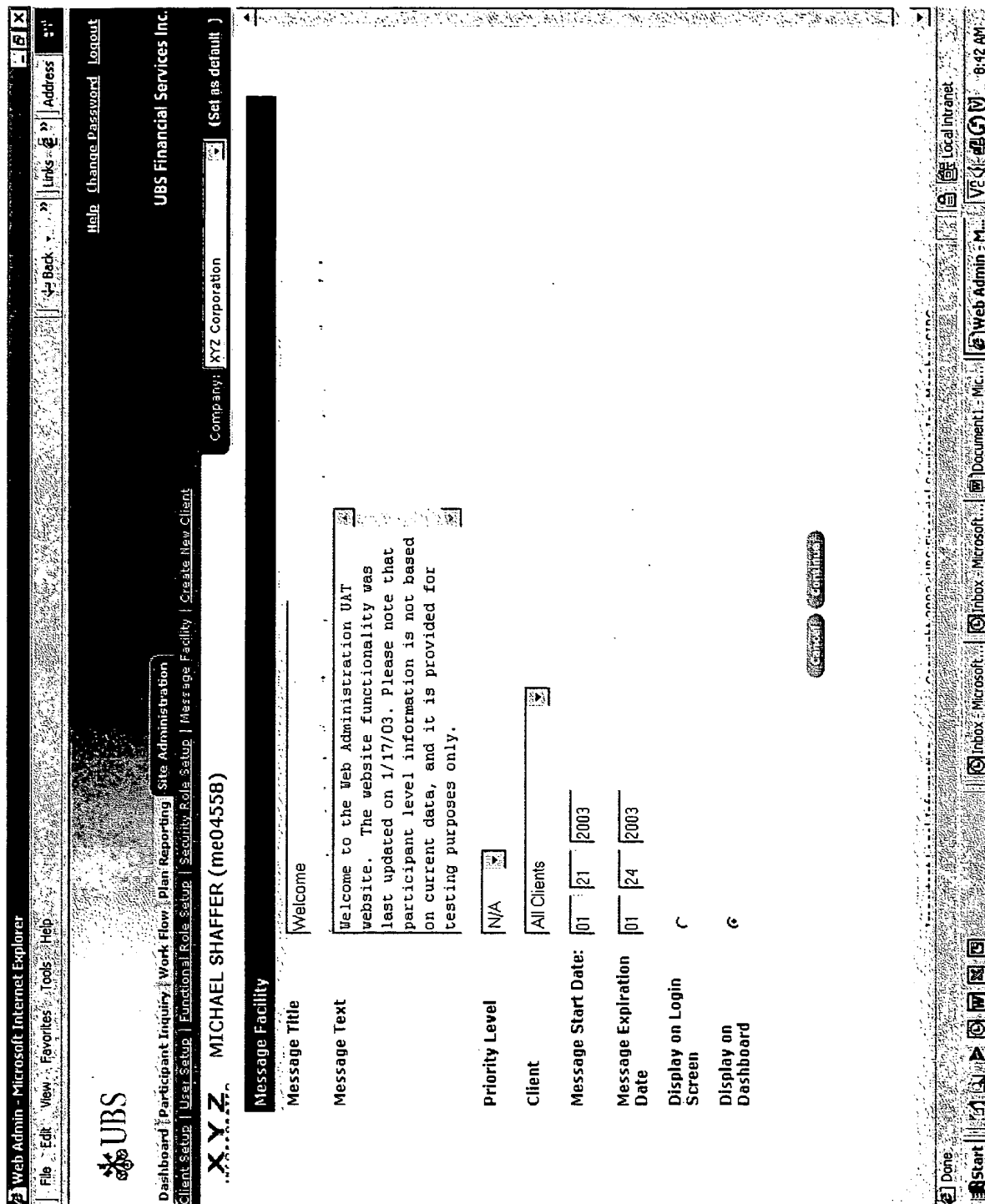


Figure 45